

EXHIBIT 3

STAFF SURVEY RESPONSES
INTERNAL CONTROL AND RISK SURVEY A2021-2

CONTROL ENVIRONMENT	STATEMENT	Strongly Agree		Agree		Disagree		Strongly Disagree		Don't Know		Total Responses	Strongly Agree + Agree %	Disagree + Strongly Disagree %	Don't Know %
		#	%	#	%	#	%	#	%	#	%				
		1	City management places sufficient emphasis on the importance of integrity, ethical conduct, fairness, and honesty in their dealings with employees, vendors, and other organizations.	37	21%	97	55.4%	17	9.7%	8	4.6%				
2	An atmosphere of mutual trust and open communication between management and employees has been established within the organization.	31	18%	80	45.7%	41	23.4%	14	8.0%	9	5.1%	175	63%	31%	5%
3	Management demonstrates the appropriate "tone at the top" and their actions are consistent with the values and conduct expected of all other employees.	29	17%	74	42.3%	35	20.0%	14	8.0%	23	13.1%	175	59%	28%	13%
4	Management is committed to maintaining effective internal controls, accountability and safeguarding of City assets.	34	19%	97	55.4%	18	10.3%	8	4.6%	18	10.3%	175	75%	15%	10%
5	Standards of Conduct policies are periodically discussed/reviewed with employees.	20	11%	76	43.4%	52	29.7%	11	6.3%	16	9.1%	175	55%	36%	9%
6	Employees in my work unit are sufficiently competent and have the knowledge and skills necessary to perform their job adequately.	77	44%	81	46.3%	14	8.0%	1	0.6%	2	1.1%	175	90%	9%	1%
7	My duties and responsibilities are clearly defined, documented, and updated periodically.	42	24%	102	58.3%	19	10.9%	10	5.7%	2	1.1%	175	82%	17%	1%
8	My department has an organizational chart that clearly defines lines of authority and responsibility.	60	34%	84	48.0%	19	10.9%	4	2.3%	8	4.6%	175	82%	13%	5%
9	My work unit is committed to providing quality services.	105	60%	61	34.9%	5	2.9%	2	1.1%	2	1.1%	175	95%	4%	1%
10	I feel I have adequate opportunities to advance within the organization.	25	14%	73	41.7%	48	27.4%	17	9.7%	12	6.9%	175	56%	37%	7%
11	I am satisfied with the training opportunities made available to me.	38	22%	98	56.0%	26	14.9%	9	5.1%	4	2.3%	175	78%	20%	2%
12	Management is open to suggestions for improvement.	37	21%	80	45.7%	29	16.6%	13	7.4%	16	9.1%	175	67%	24%	9%
13	Personnel turnover has not impacted my, or my work unit's, ability to effectively perform.	33	19%	62	35.4%	43	24.6%	31	17.7%	6	3.4%	175	54%	42%	3%
14	Employees in my work unit are treated and paid fairly and justly.	23	13%	74	42.3%	43	24.6%	20	11.4%	15	8.6%	175	55%	36%	9%
CONTROL ENVIRONMENT AVERAGE SCORE		591	24%	1139	46.6%	409	16.7%	162	6.6%	149	6.1%		7%	23	6%

RISK ASSESSMENT	STATEMENT	Strongly Agree		Agree		Disagree		Strongly Disagree		Don't Know		Total Responses	Strongly Agree + Agree %	Disagree + Strongly Disagree %	Don't Know %
		#	%	#	%	#	%	#	%	#	%				
		1	Management in my department effectively anticipates and plans for issues and events to proactively reduce negative impact on my and/or my work unit's ability to effectively perform.	32	20%	82	50.9%	25	15.5%	10	6.2%				
2	The overall organization is effective in proactively managing top risks.	27	17%	80	49.7%	28	17.4%	4	2.5%	22	13.7%	161	66%	20%	14%
3	My department has a documented mission statement.	43	27%	77	47.8%	12	7.5%	2	1.2%	27	16.8%	161	75%	9%	17%
4	I am familiar with the City's vision and mission statements and strategic plan and understand how they provide the foundation for city operations.	39	24%	97	60.2%	11	6.8%	4	2.5%	10	6.2%	161	84%	9%	6%
5	For the coming year I and/or my work unit are accountable for defined measurable objectives.	34	21%	98	60.9%	12	7.5%	3	1.9%	14	8.7%	161	82%	9%	9%
6	I am aware of how my work unit's objectives and goals support those of the department and the City's strategic plan.	31	19%	98	60.9%	13	8.1%	3	1.9%	16	9.9%	161	80%	10%	10%
7	I have sufficient resources, tools, and time to perform my job and accomplish objectives assigned to me and/or my work unit.	28	17%	95	59.0%	27	16.8%	8	5.0%	3	1.9%	161	76%	22%	2%
8	The objectives and goals of my work unit are reasonable and attainable.	33	20%	107	66.5%	8	5.0%	4	2.5%	9	5.6%	161	87%	7%	6%
9	Management has given me an appropriate level of authority to accomplish goals and meet objectives.	37	23%	95	59.0%	16	9.9%	3	1.9%	10	6.2%	161	82%	12%	6%
10	Generally, I do not feel unreasonable pressure to accomplish departmental goals at any expense.	27	17%	100	62.1%	19	11.8%	10	6.2%	5	3.1%	161	79%	18%	3%
11	Barriers and obstacles that could impact achievement of objectives are identified and resolved.	19	12%	86	53.4%	37	23.0%	2	1.2%	17	10.6%	161	65%	24%	11%
12	The processes for supporting new services, technology, and other significant changes (i.e., software implementations, turnover in key positions, organization structure changes, ...) are effectively managed and communicated to employees.	17	11%	73	45.3%	51	31.7%	10	6.2%	10	6.2%	161	56%	38%	6%
13	Objectives and goals for my department clearly tie to and support a strategic plan initiative.	23	14%	97	60.2%	13	8.1%	2	1.2%	26	16.1%	161	75%	9%	16%
14	My department has established cross-training and contingency plans for significant changes in personnel.	15	9%	74	46.0%	49	30.4%	5	3.1%	18	11.2%	161	55%	34%	11%
15	There is an established succession plan for key positions in my department.	15	9%	63	39.1%	39	24.2%	5	3.1%	39	24.2%	161	48%	27%	24%
16	A disaster recovery plan has been developed for things such as failure or destruction of a critical business system, flooding of principal municipal buildings, et cetera.	18	11%	54	33.5%	22	13.7%	5	3.1%	62	38.5%	161	45%	17%	39%
RISK ASSESSMENT AVERAGE SCORE		438	17%	1376	53.3%	382	14.8%	80	3.1%	300	11.6%		7%	18	12%

STAFF SURVEY RESPONSES
INTERNAL CONTROL AND RISK SURVEY A2021-2

CONTROL ACTIVITIES	STATEMENT	Strongly Agree		Agree		Disagree		Strongly Disagree		Don't Know		Total Responses	Strongly Agree + Agree %	Disagree + Strongly Disagree %	Don't Know %
		#	%	#	%	#	%	#	%	#	%				
1	Directorate/department policies and procedures are formalized, easily accessible and communicated to employees.	24	16%	91	59.1%	21	13.6%	11	7.1%	7	4.5%	154	75%	21%	5%
2	Policies and procedures for my department are adequate, reasonable, consistent, and enable employees to do their jobs effectively.	23	15%	93	60.4%	17	11.0%	13	8.4%	8	5.2%	154	75%	19%	5%
3	All procedures related to performing significant processes specific to my work unit are documented, kept up to date, and are accessible to employees.	24	16%	84	54.5%	25	16.2%	9	5.8%	12	7.8%	154	70%	22%	8%
4	There is someone designated in each department, work unit and/or at the directorate level to maintain policies and procedures.	21	14%	69	44.8%	21	13.6%	8	5.2%	35	22.7%	154	58%	19%	23%
5	City-wide policies and procedures are clearly defined and easily accessible to employees.	26	17%	94	61.0%	14	9.1%	5	3.2%	15	9.7%	154	78%	12%	10%
6	Managerial employees in my department are sufficiently familiar with city-wide policies related to personnel management, financial matters, and regulatory compliance, and use of information and technology.	28	18%	84	54.5%	14	9.1%	5	3.2%	23	14.9%	154	73%	12%	15%
7	I am familiar with the City's Standard of Conduct policies including work standards and employee performance, behavioral standards of conduct, conflict of interest, gifts, entertainment, and gratuities, and use of information and technology.	31	20%	109	70.8%	7	4.5%	3	1.9%	4	2.6%	154	91%	6%	3%
8	Employees who break laws, rules, and regulations affecting the organization or steal City property will be caught.	39	25%	83	53.9%	9	5.8%	2	1.3%	21	13.6%	154	79%	7%	14%
9	Appropriate remedial actions taken by management in response to employees breaking laws/rules/regulations or theft of City property.	28	18%	71	46.1%	14	9.1%	8	5.2%	33	21.4%	154	64%	14%	21%
10	All City property and other assets in my area are adequately safeguarded from loss, waste, and theft.	30	19%	97	63.0%	12	7.8%	3	1.9%	12	7.8%	154	82%	10%	8%
11	Internal controls are sufficient to prevent fraud.	29	19%	80	51.9%	9	5.8%	2	1.3%	34	22.1%	154	71%	7%	22%
12	The effectiveness of internal controls is monitored.	22	14%	64	41.6%	13	8.4%	3	1.9%	52	33.8%	154	56%	10%	34%
13	Employees are appropriately trained for general workplace safety and compliance with applicable regulatory requirements for their job.	27	18%	94	61.0%	16	10.4%	5	3.2%	12	7.8%	154	79%	14%	8%
14	Electronic and hard copy files containing private and confidential information are properly protected and secured through restricted access, appropriate training, and other methods.	29	19%	89	57.8%	2	1.3%	2	1.3%	32	20.8%	154	77%	3%	21%
CONTROL ACTIVITIES AVERAGE SCORE		381	18%	1202	55.8%	194	9.0%	79	3.7%	300	13.9%		73%	13%	14%

INFORMATION & COMM	STATEMENT	Strongly Agree		Agree		Disagree		Strongly Disagree		Don't Know		Total Responses	Strongly Agree + Agree %	Disagree + Strongly Disagree %	Don't Know %
		#	%	#	%	#	%	#	%	#	%				
1	There is a way for me to provide recommendations for process improvement.	18	12%	85	56.3%	21	13.9%	6	4.0%	21	13.9%	151	68%	18%	14%
2	The interaction between management and my work unit enables us to perform our jobs effectively.	32	21%	88	58.3%	17	11.3%	7	4.6%	7	4.6%	151	79%	16%	5%
3	The communication across departmental boundaries within my department enables us to perform our jobs effectively.	24	16%	72	47.7%	28	18.5%	15	9.9%	12	7.9%	151	64%	28%	8%
4	Management has clearly communicated to me the behavior that is expected of me.	37	25%	101	66.9%	10	6.6%	2	1.3%	1	0.7%	151	91%	8%	1%
5	Employees, management, and work groups cooperate to reach shared goals.	30	20%	84	55.6%	25	16.6%	3	2.0%	9	6.0%	151	75%	19%	6%
6	I am informed periodically of my work unit's actual performance relative to established objectives.	25	17%	86	57.0%	30	19.9%	5	3.3%	5	3.3%	151	74%	23%	3%
7	I have access to sufficient information to do my job.	34	23%	105	69.5%	10	6.6%	0	0.0%	2	1.3%	151	92%	7%	1%
8	I know how to anonymously report suspected instances of employee misconduct or unethical/fraudulent activity.	18	12%	67	44.4%	35	23.2%	13	8.6%	18	11.9%	151	56%	32%	12%
9	If I report wrongdoing to my supervisor, I am confident the wrongdoing will stop.	20	13%	66	43.7%	34	22.5%	11	7.3%	20	13.2%	151	57%	30%	13%
10	Employees who report suspected improprieties are protected from reprisal.	16	11%	60	39.7%	22	14.6%	12	7.9%	41	27.2%	151	50%	23%	27%
INFORMATION & COMMUNICATION AVG SCORE		254	17%	814	53.3%	232	15.3%	74	4.9%	135	9.0%		7%	2%	9%

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INTERNAL CONTROL AND RISK SURVEY A2021-2

	STATEMENT	Strongly Agree		Agree		Disagree		Strongly Disagree		Don't Know		Total Responses	Strongly Agree + Agree %	Disagree + Strongly Disagree %	Don't Know %
		#	%	#	%	#	%	#	%	#	%				
MONITORING	1 Internal and/or external feedback complaints are followed up on by management in a timely and effective manner.	21	14%	73	49.3%	13	8.8%	6	4.1%	35	23.6%	148	64%	13%	24%
	2 Internal and/or external complaints and feedback are taken into consideration and used by management to identify quality problems.	18	12%	74	50.0%	13	8.8%	6	4.1%	37	25.0%	148	62%	13%	25%
	3 To assess the achievement of goals and objectives and quality, my work unit's performance is measured and monitored.	28	19%	93	62.8%	11	7.4%	2	1.4%	14	9.5%	148	82%	9%	9%
	4 My supervisor reviews my performance with me at appropriate intervals and provides timely corrective feedback and coaching if I am doing something wrong.	36	24%	90	60.8%	11	7.4%	5	3.4%	6	4.1%	148	85%	11%	4%
	5 Management adequately monitors work and provides staff with guidance on what actions to take when they find gaps or mistakes in what they are supposed to do.	27	18%	94	63.5%	15	10.1%	4	2.7%	8	5.4%	148	82%	13%	5%
	6 I know what procedures to follow and actions to take if I become aware of employee misconduct, or unethical/fraudulent activity.	12	8%	55	37.2%	64	43.2%	5	3.4%	12	8.1%	148	45%	47%	8%
	7 Information reported to management reflects the actual results of operations in my work unit.	18	12%	82	55.4%	11	7.4%	4	2.7%	33	22.3%	148	68%	10%	22%
	8 Computerized data entry systems used within my department effectively prevent or detect incorrect or missing information.	16	11%	74	50.0%	16	10.8%	5	3.4%	37	25.0%	148	61%	14%	25%
	9 One or more individuals in my department are responsible for reviewing the department's budget and other financial reports monthly to identify and address unusual trends or discrepancies in department accounts.	33	22%	82	55.4%	2	1.4%	1	0.7%	30	20.3%	148	78%	2%	20%
	10 Important financial reconciliations are being routinely performed.	24	16%	62	41.9%	2	1.4%	1	0.7%	59	39.9%	148	58%	2%	40%
	11 Vendor performance is adequately monitored by management.	21	14%	59	39.9%	6	4.1%	2	1.4%	60	40.5%	148	54%	5%	41%
MONITORING AVERAGE SCORE		254	16%	838	51.5%	164	10.1%	41	2.5%	331	20.3%		67%	13%	20%